

Form PTO-1449 (Modified)		Atty Docket No.: 003801.P007	Serial No.: 09/491,703
List of Patents and Publications Statement (Use several sheets if necessary)		Applicants: Alex D. Poon	RECEIVED MAY 8 2001 Technology Center 2000
		Filing Date: January 26, 2000	

REFERENCE DESIGNATION		U.S. PATENT DOCUMENTS			Technology Center 2000 RECEIVED MAY 8 2001		
Exam. Initial	Date	Document Number	Name	Class	Sub-Class	Filing Date	
Q	11/10/98	5,835,896	Fisher et al.	705	37	103/29/96	
Q	5/25/71	3,581,072	Frederick Nymeyer	235	152	3/28/68	
Q	6/30/87	4,677,552	Sibley, Jr.	364	408	10/5/84	
Q	1/17/89	4,799,156	Shavit et al.	364	401	10/1/86	
Q	2/20/90	4,903,201	Wagner	364	408	11/3/83	
Q	11/5/91	5,063,507	Lindsey et al.	364	408	9/14/90	
Q	3/31/92	5,101,353	Lupien et al.	364	408	5/31/89	
Q	8/4/92	5,136,501	Silverman et al.	364	408	5/26/89	
Q	12/1/92	5,168,446	Wiseman	364	408	5/23/89	
Q	9/7/93	5,243,515	Lee	364	401	10/30/90	
Q	11/2/93	5,258,908	Hartheimer et al.	364	408	11/2/90	

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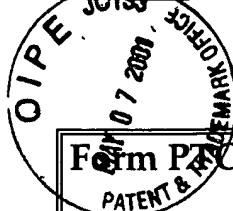
No.	Document No.	Date	Country	Name	Class	Sub-Class	Trans-lation
Q	2,253,543	10/9/97	Canada				Y
Q	9300266	9/1/94	Netherlands				
Q	WO 92/15174	9/3/92	PCT				

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

Q	Thomas W. Malone, Joanne Yates, Robert I. Benjamin, "Electronic Markets and Electronic Hierarchies", Communications of the ACM, June 1987, Vol. 30, Number 6, p. 484-497.
Q	AUCNET: TV Auction network System, Harvard Business School, 9-190-001, Rev. April 12, 1996, p. 1-15.
Q	Ho Geun Lee, "Electronic Brokerage and Electronic Auction: The Impact of IT on Market Structures", Proceedings of the 29th Annual Hawaii International Conference on System Sciences - 1996, p. 397-406.

Examiner	Date Considered
	8/15/01

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Form PTO-1449 (Modified)		Atty Docket No.: 003801.P007	Serial No.: 09/491,702
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		Filing Date: January 26, 2000	RECEIVED MAY 8 2001 Technology Center 2000

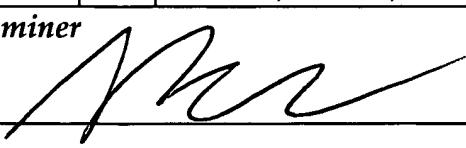
REFERENCE DESIGNATION		U.S. PATENT DOCUMENTS					
Exam. Initial		Date	Document Number	Name	Class	Sub-Class	Filing Date
CP		4/19/94	5,305,200	Hartheimer et al.	364	408	11/2/90
CP		6/28/94	5,325,297	Bird et al.	364	419.07	6/25/92
CP		7/12/94	5,329,589	Fraser et al.	379	91	6/3/93
CP		12/20/94	5,375,055	Togher et al.	364	408	2/3/92
CP		2/28/95	5,394,324	Clearwater	364	402	12/8/93
CP		6/20/95	5,426,281	Abecassis	235	379	10/29/93
CP		1/18/94	5,280,422	Moe et al.	364	140	11/5/90
CP		2/10/98	5,717,989	Tozzoli et al.	705	37	10/13/94
CP		12/20/94	5,375,055	Togher et al.	364	408	2/3/92
CP		3/22/94	5,297,032	Trojan et al.	364	408	2/1/91
CP		4/27/93	5,205,200	Wright	91	1	1/9/92
CP		4/6/71	3,573,747	Adams et al.	340	172.5	2/24/69

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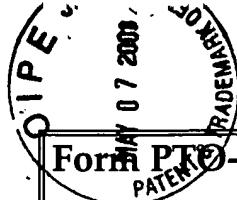
No.		Document No.	Date	Country	Name	Class	Sub-Class	Trans-lation
CP		2658635	2/16/90	France				
CP		WO 97/37315	10/9/97	PCT				
CP		WO 96/34356	10/31/96	PCT				

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

CP	Eric K. Clemons, Bruce W. Weber, "Evaluating the Prospects for Alternative Electronic Securities Markets", International Conference on Information Systems, 1991, p. 53-61.
CP	Mardesich, Jodi, "Onsale Takes Auction Gavel Electronic", Computer Reseller News, July 8, 1996, 2 pages.
CP	"Personal Optimized Decision/Transaction Program", IBM Technical Disclosure Bulletin, Vol. 38, No. 1, January 1995, p. 83-84.

Examiner	Date Considered
	8/10/01

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List of Patents and Publications Statement

 Applicants:
Alex D. Poon

(Use several sheets if necessary)

Filing Date: January 26, 2001

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Technology Center 2100

REFERENCE DESIGNATION			U.S. PATENT DOCUMENTS				
Exam. Initial	Date	Document Number	Name		Class	Sub-Class	Filing Date
	3/31/92	5,101,353	Lupien et al.		364	408	5/31/89
	5/25/71	3,581,072	Nymeyer		235	152	3/28/68
	3/22/94	5,297,031	Guterman et al.		364	408	3/6/90
	6/16/87	4,674,044	Kalmus et al.		364	408	1/30/85
	1/20/98	5,710,889	Clark et al.		395	244	6/7/95
	8/4/92	5,136,501	Silverman et al.		364	408	5/26/89
	6/17/97	5,640,569	Miller et al.		395	729	4/28/95
	3/31/92	5,101,353	Lupien et al.		364	408	5/31/89
	12/6/88	4,789,928	Fujisaki		364	401	1/30/87
	12/31/91	5,077,665	Silverman et al.		364	408	5/25/89
	10/6/98	5,818,914	Fujisaki		379	93.12	3/27/95

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No.	Document No.	Date	Country	Name	Class	Sub-Class	Trans-lation

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

	Boon Siong Neo, "The Implementation of an Electronic Market for Pig Trading in Singapore", Journal of Strategic Information Systems, 1992, p. 278-288.
	Todd E. Rockoff, Michael Groves, "Design of an Internet-based System for Remote Dutch Auctions", Internet Research, ISSN 1066-2243, Vol. 5, Number 4, 1995, p. 10-16.
	Marcel N. Massimb, Bruce D. Phelps, "Electronic Trading, Market Structure and Liquidity", Financial Analysts Journal, January/February 1994, p. 39-50.

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Exam. Initial		Date	Document Number	Name	Class	Sub-Class	Filing Date
Q		2/28/95	5,394,324	Clearwater	364	402	12/8/93
Q		9/3/96	5,553,145	Micali	380	30	8/4/95
Q		9/2/97	5,664,115	Fraser	705	37	6/7/95
Q		10/20/98	5,826,244	Huberman	705	37	8/23/95
Q		11/18/97	5,689,652	Lupien et al.	395	237	4/27/95
Q		12/15/98	5,850,442	Muftic	380	21	3/26/96
Q		3/10/98	5,727,165	Ordish et al.	395	237	12/27/94
Q		12/1/98	5,845,266	Lupien et al.	705	37	12/12/95
Q		8/11/98	5,794,219	Brown	705	37	2/20/96
Q		10/25/83	4,412,287	Braddock, III	364	408	9/15/82
Q		1/17/89	4,799,156	Shavit et al.	364	401	10/1/86

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Q		"Anonymous Delivery of Goods in Electronic Commerce", IBM Technical Disclosure Bulletin, Vol. 39, No. 03, March 1996, p. 363-366.
Q		D. L. Post, S. S. Coppinger, G. B. Sheble, "Application of Auctions as a Pricing Mechanism for the Interchange of Electric Power", IEEE Transactions on Power Systems, Vol. 10, No. 3, August 1995, p. 1580-1584.
Q		Christopher M. Hess, Chris F. Kemerer, "Computerized Loan Origination Systems: An Industry Case Study of the Electronic Markets Hypothesis", MIS Quarterly, September 1994, p. 251-275.

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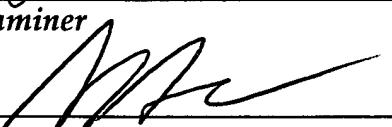
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Q		9/7/93	5,243,515	Lee	364	401	10/30/90
Q		2/3/98	5,715,402	Popolo	395	237	11/9/95
Q		6/16/87	4,674,044	Kalmus et al.	364	408	1/30/85
Q		6/30/87	4,677,552	Sibley, Jr.	364	408	10/5/84
Q		12/1/92	5,168,446	Wiseman	364	408	5/23/89
Q		4/18/89	4,823,265	Nelson	364	408	5/11/87

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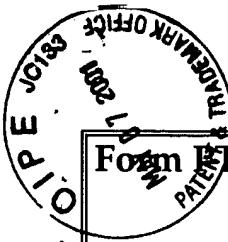
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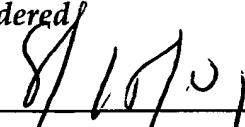
OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

Q	Martin Reck, "Formally Specifying an Automated Trade Execution System", J. Systems Software, 1993, 21, p. 245-252.
Q	Vladimir Zwass, "Electronic Commerce: Structures and Issues", International Journal of Electronic Commerce, Vol. 1, No. 1, Fall, 1996, p. 3-23.
Q	Ian Graham, "The Emergence of Linked Fish Markets in Europe, Focus Theme, 4 pages.
Q	Ingvar Tjostheim, Jan-Olav Eide, "A Case Study of an On-line Auction for the World Wide Web", 10 pages.
Q	Siegmund, Ken, "Nowhere to Go But Up", PC Week, Vol. 12, No. 42, 3 pages.
Q	"Onsale Joins Fray as Online Shopping Picks Up Speed: INTERNET BOOMS", Computer Reseller News, June 5, 1995, ISSN 0893-8377, p. 73.

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No.		Document No.	Date	Country	Name	Class	Sub-Class
OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)							
<i>DR</i>		"ONSALE: ONSALE Brings Thrill of Auctions and Bargain Hunting Online; Unique Internet Retail Service Debuts with Week-long Charity Auction for the Computer Museum in Boston", May 24, 1995, 3 pages.					
<i>DR</i>		Dr. Beat F. Schmid, "Research Issues, "Electronic Markets, Newsletter of the Competence Centre Electronic Markets, No. 9/10, October 93.					
<i>DR</i>		Stefan Klein, "Introduction to Electronic Auctions", University of Munster, Focus Theme, 4 pages.					
<i>DR</i>		Efraim Turban, "Auctions and Bidding on the Internet: An Assessment", California State University, Focus Theme, 5 pages.					
<i>DR</i>		Eric Van Heck, Pieter M. Ribbers, "Experiences with Electronic Auctions in the Dutch Flower Industry", Focus Theme, 6 pages.					
<i>DR</i>		Martin Reck, "Trading-Process Characteristics of Electronic Auctions", Focus Theme, 7 pages.					
<i>DR</i>		Ho Geun Lee, "AUCNET: Electronic Intermediary for Used-Car Transactions", Focus Theme, 5 pages.					
<i>DR</i>							
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